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JC950 U.S. PTO

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JC972 U.S. PTO  
10/052887  
01/17/02

# UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No.: 20010376.ORI  
First Inventor: James A. Esler  
Title: Method and Apparatus for Recording Fault History Information

Express Mail Label No.: EL 804138465 US

Address to: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

## Application Elements:

1. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
2. ☒ Specification Total Pages: 12
3. ☒ Drawings Total Sheets: 2
4. Oath or Declaration Total Pages:
  - a. ☒ Newly executed.
  - b. ☐ Copy from prior application  
(for continuation/divisional with Box 18 completed)
5. ☒ Application Data Sheet.

## Accompanying Application Parts

6. ☒ Assignment Papers (cover sheet & document)
7. ☐ Information Disclosure Statement
8. ☐ Preliminary Amendment
9. ☒ Return Receipt Postcard

10. ☐ Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i)
11. ☒ Certificate of Mailing Via Express Mail
12. ☒ Check in the amount of \$1060.00.
13. ☐ If a **CONTINUING APPLICATION** (check appropriate box and supply requisite information below and in a preliminary amendment, or in an Application Data Sheets under 37 CFR 1.76):

☐ Continuation ☐ Divisional ☐ Continuation-in-Part

of prior application Serial No.:

Prior application information: Examiner: Group Art Unit:

☒ **Assignee Information for Inclusion on the Patent Application Publication:**

Assignee: Cardiac Pacemakers, Inc.  
Address: 4100 Hamline Avenue North  
St. Paul, MN 55112

#### Method of Payment

☒ Payment enclosed by check to cover the filing and recording fees.

☒ The Commissioner is authorized to charge any fees or refund any overpayment under 37 CFR 1.16 and 1.17 which may be required by this paper to Deposit Account No. 08-1265 under Deposit Account name of Nikolai & Mersereau, P.A.

#### Correspondence Address:

Customer No.: 23595

Typed Attorney Name: Thomas J. Nikolai  
Attorney Registration No.: 19,285  
Telephone Number: 612-339-7461

Signature: 

Date: Jan 17

, 2002.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$1060.00)

## Complete if Known

Application Number  
Filing Date January 17, 2002  
First Named Inventor James A. Esler  
Examiner Name  
Group Art Unit  
Attorney Docket No. 20010376.ORI

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name

08-1265

Nikolai & Mersereau

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
101 740	201 370	Utility filing fee	740.
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$740.)

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims Independent Claims Multiple Dependent  
Extra Claims -20\*\* = X Fee from below Fee Paid  
-3\*\* = X  
=280.

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$280.)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type) Thomas J. Nikolai Registration No. 19283 Telephone 612-339-7461  
Signature [Signature] (Attorney/Agent) Date 01/17/02

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Express Mail No. EL804138465US  
PATENT APPLICATION  
Docket No. 20010376.ORI

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re App : James A. Esler : January 17, 2002  
For : Method and Apparatus for Recording Fault  
History Information  
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**CERTIFICATE OF MAILING VIA EXPRESS MAIL**

ASSISTANT COMMISSIONER FOR PATENTS  
BOX PATENT APPLICATIONS  
WASHINGTON, D.C. 20231

Sir:

I hereby certify that the attached patent application consisting of 9 pages of specification, 2 pages of claims, abstract, 2 sheets of formal patent drawings, 2 pages of an executed Declaration, Power of Attorney, and Petition, 2 pages of an executed Assignment, a utility patent application transmittal, a Recordation Form Cover Sheet, a Patent Application Data Entry Format, a return receipt postcard, and a check in the amount of \$1060.00 in payment of the filing and recording fees, are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to:

ASSISTANT COMMISSIONER FOR PATENTS  
BOX PATENT APPLICATIONS  
WASHINGTON, D.C. 20231

under Express Mail Post Office to Addressee Label No. EL 804138465 US.

Respectfully submitted,

NIKOLAI & MERSEREAU, P.A.



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On Behalf of Thomas J. Nikolai  
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20010376.ORI